

12-09-04

IPW

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
15436.82.1

In Re Application Of: Freeman et al.

DEC 08 2004

Serial No.

10/697,766

Filing Date

October 30, 2003

Examiner

Unknown

Group Art Unit

2873

Title: **CONTROL SYSTEM FOR ELECTROCHROMIC DEVICES**

Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

the statement specified in 37 CFR 1.97(e);

**OR**

the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
15436.82.1

In Re Application: Freeman et al.

Serial No. 10/697,766	Filing Date October 30, 2003	Examiner Unknown	Group Art Unit 2873
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**CONTROL SYSTEM FOR ELECTROCHROMIC DEVICES**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- Charge the amount of \_\_\_\_\_
- Credit any overpayment.
- Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F)

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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Signature of Person Mailing Correspondence

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Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

  
\_\_\_\_\_  
Signature

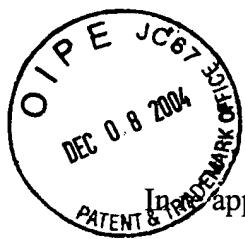
Dated: December 7, 2004

R. BURNS ISRAELSEN  
Registration No. 42,685  
Customer No. 022913

cc:

EXPRESS MAIL NO. EV524684524US

PATENT APPLICATION  
Docket No: 15436.82.1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Freeman et al.

Serial No.: 10/697,766 ) Art Unit

2873

Confirmation No.: 8889 )

Filed: October 30, 2003 )

For: CONTROL SYSTEM FOR ELECTROCHROMIC  
DEVICES )

Examiner: Unknown )

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

DATED December 7, 2004.

Respectfully submitted,



R. BURNS ISRAELSEN  
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ELM: kjb  
KJB000004810V001

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Freeman et al.

Docket No.

15436.82.1

Serial No.  
10/697,766Filing Date  
October 30, 2003Examiner  
UnknownGroup Art Unit  
2873

Invention P CONTROL SYSTEM FOR ELECTROCHROMIC DEVICES

DEC 08 2004

PATENT &amp; TRADEMARK OFFICE

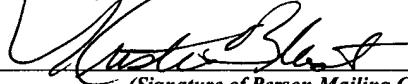
I hereby certify that this **Information Disclosure Statement; PTO 1449 Form; two (2) references; postcard**  
*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on December  
November 8, 2004

(Date)

**Kristine Blust***(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)***EV524684524US***("Express Mail" Mailing Label Number)***Note:** Each paper must have its own certificate of mailing.

## **INFORMATION DISCLOSURE**

DEC 08 2004

Docket Number (Optional) <b>15436.82.1</b>	Application Number <b>10/697,766</b>
Applicant(s) <b>Freeman et al.</b>	
Filing Date <b>October 30, 2003</b>	Group Art Unit <b>2873</b>

**PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** (*Including Author, Title, Date, Pertinent Pages, Etc.*)

	1	Hills, P. PWM Signal Generators, V2.03 [online] July 30, 2002 [retrieved on unknown date]. Retrieved from the Internet: URL: <a href="http://homepages.which.net/~paul.hills/Circuits/PwmGenerators/PwmGenerators.html">http://homepages.which.net/~paul.hills/Circuits/PwmGenerators/PwmGenerators.html</a>
	2	Hills, P. Speed Controllers, V2.04 [online] September 19, 2001 [retrieved on unknown date]. Retrieved from the Internet: URL: <a href="http://homepages.which.net/~paul.hills/SpeedControl/SpeedControllersBody.html">http://homepages.which.net/~paul.hills/SpeedControl/SpeedControllersBody.html</a>

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.